

031704

16698 U.S. PAT.

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	942418
First Inventor	Jiaren Jiang
Title	Surface Modification ...
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>22</u>] (<i>preferred arrangement set forth below</i>)</p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (<i>if filed</i>) - Detailed Description - Claim(s) - Abstract of the Disclosure <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>7</u>]</p> <p>5. Oath or Declaration [Total Sheets <u>2</u>]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (<i>Appendix</i>)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (<i>if applicable, all necessary</i>)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> Paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>
ACCOMPANYING APPLICATION PARTS	
<p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of (<i>when there is an assignee</i>) <input checked="" type="checkbox"/> Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</p> <p>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503) (<i>Should be specifically itemized</i>)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (<i>if foreign priority is claimed</i>)</p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input type="checkbox"/> Other: _____</p>	

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)

11. English Translation Document (*if applicable*)

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information: _____ *Examiner* _____ *Art Unit:* _____
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number:	33798	OR	<input type="checkbox"/> Correspondence address below
Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	
Name (Print/Type)	Hans Koenig	Registration No. (Attorney/Agent)	46,474
Signature			Date March 16, 2004

This collection of information is required by 37 CFR 1.63(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO

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FEE TRANSMITTAL

for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 882.00)

Complete if Known

Application Number

Filing Date

First Named Inventor Jiaren Jiang

Examiner Name

Art Unit

Attorney Docket No. 942418

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number

Deposit Account Name

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity				
Fee Code (\$)	Fee Code (\$)	Fee Description		Fee Paid	
1001 770	2001 385	Utility filing fee	<input type="text" value="770.00"/>		
1002 340	2002 170	Design filing fee	<input type="text"/>		
1003 530	2003 265	Plant filing fee	<input type="text"/>		
1004 770	2004 385	Reissue filing fee	<input type="text"/>		
1005 160	2005 80	Provisional filing fee	<input type="text"/>		
SUBTOTAL (1)		(\$ 770.00)			

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
24	2		-20** = 4	X 18 = 72	<input type="text" value="72"/>
			- 3** = 0	X 86 = 0	<input type="text" value="0"/>
				0 = 0	<input type="text" value="0"/>

Large Entity	Small Entity			
Fee Code (\$)	Fee Code (\$)	Fee Description		
1202 18	2202 9	Claims in excess of 20		
1201 86	2201 43	Independent claims in excess of 3		
1203 290	2203 145	Multiple dependent claim, if not paid		
1204 86	2204 43	** Reissue independent claims over original patent		
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2)		(\$ 72.00)		

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

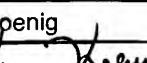
Fee Code (\$)	Fee Code (\$)	Fee Description		Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath		<input type="text"/>
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet		<input type="text"/>
1053 130	1053 130	Non-English specification		<input type="text"/>
1812 2,520	1812 2,520	For filing a request for ex parte reexamination		<input type="text"/>
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action		<input type="text"/>
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action		<input type="text"/>
1251 110	2251 55	Extension for reply within first month		<input type="text"/>
1252 420	2252 210	Extension for reply within second month		<input type="text"/>
1253 950	2253 475	Extension for reply within third month		<input type="text"/>
1254 1,480	2254 740	Extension for reply within fourth month		<input type="text"/>
1255 2,010	2255 1,005	Extension for reply within fifth month		<input type="text"/>
1401 330	2401 165	Notice of Appeal		<input type="text"/>
1402 330	2402 165	Filing a brief in support of an appeal		<input type="text"/>
1403 290	2403 145	Request for oral hearing		<input type="text"/>
1451 1,510	1451 1,510	Petition to institute a public use proceeding		<input type="text"/>
1452 110	2452 55	Petition to revive - unavoidable		<input type="text"/>
1453 1,330	2453 665	Petition to revive - unintentional		<input type="text"/>
1501 1,330	2501 665	Utility issue fee (or reissue)		<input type="text"/>
1502 480	2502 240	Design issue fee		<input type="text"/>
1503 640	2503 320	Plant issue fee		<input type="text"/>
1460 130	1460 130	Petitions to the Commissioner		<input type="text"/>
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)		<input type="text"/>
1806 180	1806 180	Submission of Information Disclosure Stmt		<input type="text"/>
8021 40	8021 40	Recording each patent assignment per property (times number of properties)		<input type="text" value="40.00"/>
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))		<input type="text"/>
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))		<input type="text"/>
1801 770	2801 385	Request for Continued Examination (RCE)		<input type="text"/>
1802 900	1802 900	Request for expedited examination of a design application		<input type="text"/>
Other fee (specify) _____				

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

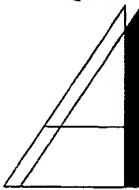
(Complete if applicable)

Name (Print/Type)	Hans Koenig	Registration No. (Attorney/Agent)	46,474	Telephone	519-673-5591
Signature		Date	March 16, 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Anissimoff & Associates

Patent and
Trade Mark Agents

March 16, 2004

HAND DELIVERED

United States Department of Commerce

Patent and Trademark Office
Assistant Secretary and Commissioner
of Patents and Trademarks
Washington, D.C. 20231

Dear Commissioner:

**RE: New Patent Application for
SURFACE MODIFICATION OF CASTINGS
Applicants: Jiaren Jiang and Xing Yang Liu
Our File: 942418**

We hereby submit the following documentation for filing with the United States Patent & Trademarks Office in connection with the above matter.

1. Utility Patent Application Transmittal
2. Fee Transmittal for FY 2004
3. Power of Attorney of Jiaren Jiang
4. Power of Attorney of Xing Yang Liu
5. Power of Attorney of National Research Council of Canada
6. Statement under 37 CFR 3.73(b)
7. Declaration of Inventors (2 pages)
8. Specification (22 pages) with Drawings (7 sheets)
9. Information Disclosure Statement with Cited References
10. Letter to Assignment Division with Cover Sheet, Assignment, Statement under 37 CFR 3.73(b) and Copy of Power of Attorney of National Research Council of Canada
11. U.S. money order in the amount of **\$882.00**

We look forward to receiving confirmation of the filing of this application in due course.

March 16, 2004

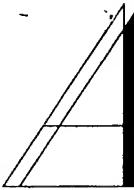
Our File: 942418

Sincerely,
ANISSIMOFF & ASSOCIATES

A handwritten signature consisting of two stylized letters, 'H' and 'K', followed by a curved line.

Per: Hans Koenig

Encl. (as above)



Anissimoff & Associates

Patent and
Trade Mark Agents

March 16, 2004

HAND DELIVERED

United States Department of Commerce
Patent and Trademark Office
Assistant Secretary and Commissioner
of Patents and Trademarks
Washington, D.C. 20231

ASSIGNMENT DIVISION

Dear Commissioner:

RE: New United States Patent Application for
SURFACE MODIFICATION OF CASTINGS
Our File: 942418

Please find enclosed the following material:

1. Recordation Form Cover Sheet
2. Assignment of Patent Application
3. Statement under 37 CFR 3.73(b)
4. Power of Attorney of National Research Council of Canada

Please note that the \$40.00 filing fee for this assignment is included with the filing of the application which is being filed contemporaneously with this Assignment.

We look forward to receiving confirmation of the filing of this assignment in due course.

Sincerely,
ANISSIMOFF & ASSOCIATES

Per: Hans Koenig

Encl. (as above)